

PATENT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re: Steven A. McAuley et al. Confirmation No.: 5285  
Serial No.: 10/828,572 Examiner: Unknown  
Filing Date: April 21, 2004 Group Art Unit: 3763  
Docket No.: 1001.1704101 Customer No.: 28075  
For: TRACTION BALLOON

**INFORMATION DISCLOSURE STATEMENT**

**CERTIFICATE UNDER 37 C.F.R. § 1.10:** The undersigned hereby certifies that this paper or papers, as described herein, are being deposited in the United States Postal Service, "Express Mail Post Office to Address", having an Express Mail mailing label number of: EV 314494834 US, in an envelope addressed to: Mail Stop Missing Parts, Commissioner for Patents, PO Box 1450, Alexandria, VA 22313-1450 on this 26th day of July 2004.

By Kathleen L. Boekley  
Kathleen L. Boekley

Dear Sir:

Pursuant to the obligations of candor and good faith imposed by 37 C.F.R. § 1.56, the documents listed on the attached PTO-1449 are hereby disclosed.

In accordance with 37 C.F.R. § 1.98(a)(2), a copy of each non-U.S. patent/publication document or other information listed on the enclosed Form PTO-1449 is provided.

No representation is intended to be made hereby that any of the cited references establishes, by itself or in combination with other information, a prima facie case of unpatentability of any claim of the present case.

Respectfully submitted,

Steven A. McAuley et al.

By their Attorney,

Date: 7/26/04

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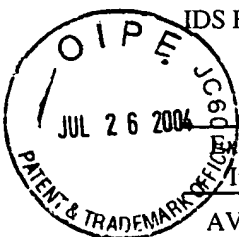
<b>FORM PTO-1449</b>		Atty. Docket No.: 1001.1704101	Serial No.: 10/828,572
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT		Applicant: Steven A. McAuley et al.	
		Confirmation No.: 5285	
		Filing Date: April 21, 2004	Group Art: 3763

**U.S. PATENT DOCUMENTS**

Examiner Initial	Document No.	Date	Name	Filing Date If Appropriate
AA	2002/0010489	01/24/2002	Grayzel Jeffery et al.	
AB	2003/0163148	08/28/2003	Wang et al.	
AC	RE 32,983	07/11/1989	Levy	
AD	RE 33,561	03/26/1991	Levy	
AE	2,816,552	12/17/1957	Hoffman	
AF	3,174,851	03/23/1965	Buehler et al.	
AG	3,351,463	11/07/1967	Rozner et al.	
AH	3,635,223	01/18/1972	Klieman	
AI	3,749,085	07/31/1973	Willson et al.	
AJ	3,753,700	08/21/1973	Harrison et al.	
AK	3,990,453	11/09/1976	Douvas et al.	
AL	4,140,126	02/20/1979	Choudhury	
AM	4,141,364	02/27/1979	Schultze	
AN	4,263,236	04/21/1981	Briggs et al.	
AO	4,273,128	06/16/1981	Lary	
AP	4,292,974	10/06/1981	Fogarty et al.	
AQ	4,406,656	09/27/1983	Hattler et al.	
AR	4,465,072	08/14/1984	Taheri	
AS	4,490,421	12/25/1984	Levy	
AT	4,572,186	02/25/1986	Gould et al.	
AU	4,574,781	03/11/1986	Chin	

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Examiner Initial	Document No.	Date	Name	Filing Date If Appropriate
AV	4,608,984	09/02/1986	Fogarty	
AW	4,627,436	12/09/1986	Leckrone	
AX	4,685,458	08/11/1987	Leckrone	
AY	4,686,982	08/18/1987	Nash	
AZ	4,696,667	09/29/1987	Masch	
BA	4,705,517	11/10/1987	DiPisa, Jr.	
BB	4,723,549	02/09/1988	Wholey et al.	
BC	4,728,319	03/01/1988	Masch	
BD	4,747,405	05/31/1988	Leckrone	
BE	4,748,982	06/07/1988	Horzewski et al.	
BF	4,781,186	11/01/1998	Simpson et al.	
BG	4,784,636	11/15/1988	Rydell	
BH	4,787,388	11/29/1988	Hofmann	
BI	4,790,813	12/13/1988	Kensey	
BJ	4,793,348	12/27/1988	Palmaz	
BK	4,796,629	01/10/1989	Grayzel	
BL	4,799,479	01/24/1989	Spears	
BM	4,867,157	09/19/1989	McGurk-Burleson et al.	
BN	4,886,061	12/12/1989	Fischell et al.	
BO	4,887,613	12/19/1989	Farr et al.	
BP	4,896,669	01/30/1990	Bhate et al.	
BQ	4,909,781	05/20/1990	Husted	
BR	4,921,483	05/01/1990	Wijay et al.	
BS	4,921,484	05/01/1990	Hillstead	
BT	4,936,845	06/26/1990	Stevens	
BU	4,960,410	10/02/1990	Pinchuk	
BV	4,966,604	10/30/1990	Reiss	

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Examiner Initial	Document No.	Date	Name	Filing Date If Appropriate
BW	4,986,807	01/22/1991	Farr	
BX	4,994,018	02/19/1991	Saper	
BY	5,009,659	04/23/1991	Hamlin et al.	
BZ	5,015,231	05/14/1991	Keith et al.	
CA	5,030,201	07/09/1991	Palestrant	
CB	5,041,125	08/20/1991	Montano, Jr.	
CC	5,042,985	08/27/1991	Elliott et al.	
CD	5,047,040	09/10/1991	Simpson et al.	
CE	5,053,007	10/01/1991	Euteneuer	
CF	5,053,044	10/01/1991	Mueller et al.	
CG	5,071,424	12/10/1991	Reger	
CH	5,074,841	12/24/1991	Ademovic et al.	
CI	5,074,871	12/24/1991	Groshong	
CJ	5,078,722	01/07/1992	Stevens	
CK	5,078,725	01/07/1992	Enderle et al.	
CL	5,084,010	01/28/1992	Plaia et al.	
CM	5,085,662	02/04/1992	Willard	
CN	5,087,246	02/11/1992	Smith	
CO	5,087,265	02/11/1992	Summers	
CP	5,100,424	03/31/1992	Jang et al.	
CQ	5,100,425	03/31/1992	Fischell et al.	
CR	5,102,390	04/07/1992	Crittenden et al.	
CS	5,102,403	04/07/1992	Alt	
CT	5,116,318	05/26/1992	Hillstead	
CU	5,135,482	08/04/1992	Neracher	
CV	5,147,302	09/15/1992	Euteneuer et al.	
CW	5,152,773	10/06/1992	Redha	
CX	5,156,594	10/20/1992	Keith	

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Examiner Initial	Document No.	Date	Name	Filing Date If Appropriate
CY	5,156,610	10/20/1992	Reger	
CZ	5,158,564	10/27/1992	Schnepp-Pesch et al.	
DA	5,176,693	01/05/1993	Pannek, Jr.	
DB	5,178,625	01/12/1993	Groshong	
DC	5,180,368	01/19/1993	Garrison	
DD	5,192,291	05/09/1993	Pannek, Jr.	
DE	5,196,024	03/23/1993	Barath	
DF	5,196,025	05/23/1993	Ranalletta et al.	
DG	5,209,749	05/11/1993	Buelna	
DH	5,209,799	05/11/1993	Vigil	
DI	5,224,945	07/06/1933	Pannek, Jr.	
DJ	5,226,430	07/13/1993	Spears et al.	
DK	5,226,887	07/13/1993	Farr et al.	
DL	5,226,909	07/13/1993	Evans et al.	
DM	5,242,396	09/07/1993	Evard	
DN	5,248,311	09/28/1993	Black et al.	
DO	5,250,059	10/05/1993	Andreas et al.	
DP	5,295,959	03/22/1994	Gurbel et al.	
DQ	5,300,025	04/05/1994	Wantink	
DR	5,312,425	05/17/1994	Evans et al.	
DS	5,318,576	06/07/1994	Plassche, Jr. et al.	
DT	5,320,634	06/14/1994	Vigil et al.	
DU	5,328,472	07/12/1994	Steinke et al.	
DV	5,336,234	08/09/1994	Vigil et al.	
DW	5,342,301	08/30/1994	Saab	
DX	5,342,307	08/30/1994	Euteneuer et al.	
DY	5,346,505	09/13/1994	Leopold	
DZ	5,372,601	12/13/1994	Lary	

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Examiner Initial	Document No.	Date	Name	Filing Date If Appropriate
EA	5,395,361	03/07/1995	Fox et al.	
EB	5,399,164	03/21/1995	Snoke et al.	
EC	5,403,334	04/05/1995	Evans et al.	
ED	5,409,454	04/25/1995	Fischell et al.	
EE	5,411,466	05/02/1995	Hess	
EF	5,411,478	05/02/1995	Stillabower	
EG	5,415,654	05/16/1995	Daikuzono	
EH	5,417,653	05/23/1995	Sahota et al.	
EI	5,417,703	05/23/1995	Brown et al.	
EJ	5,423,745	06/15/1995	Todd et al.	
EK	5,425,711	06/20/1995	Ressemann et al.	
EL	5,437,659	08/01/1995	Leckrone	
EM	5,441,510	08/15/1995	Simpson et al.	
EN	5,449,343	09/12/1995	Samson et al.	
EO	5,456,681	10/10/1995	Hajjar	
EP	5,487,730	01/30/1996	Marcadis et al.	
EQ	5,496,308	03/05/1996	Brown et al.	
ER	5,507,760	04/16/1996	Wynne et al.	
ES	5,507,761	04/16/1996	Duer	
ET	5,522,818	06/04/1996	Keith et al.	
EU	5,522,825	06/04/1996	Kropf et al.	
EV	5,538,510	07/23/1996	Fontirroche et al.	
EW	5,542,924	08/06/1996	Snoke et al.	
EX	5,549,556	08/27/1996	Ndondo-Lay et al.	
EY	5,554,121	09/10/1996	Ainsworth et al.	
EZ	5,556,405	09/17/1996	Lary	
FA	5,556,408	09/17/1996	Farhat	
FB	5,569,277	10/29/1996	Evans et al.	

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Examiner Initial	Document No.	Date	Name	Filing Date If Appropriate
FC	5,571,087	11/05/1996	Ressemann et al.	
FD	5,616,149	04/01/1997	Barath	
FE	5,628,761	05/13/1997	Rizik	
FF	5,643,209	07/01/1997	Fugoso et al.	
FG	5,643,296	07/01/1997	Hundertmark et al.	
FH	5,662,671	09/02/1997	Barbut et al.	
FI	5,669,920	09/23/997	Conley et al.	
FJ	5,681,336	10/28/1997	Clement et al.	
FK	5,697,944	12/16/1997	Lary	
FL	5,713,913	02/03/1998	Lary et al.	
FM	5,718,684	02/17/1998	Gupta	
FN	5,720,724	02/24/1998	Ressemann et al.	
FO	5,728,123	03/17/1998	Lemelson et al.	
FP	5,769,819	06/23/1998	Schwab et al.	
FQ	5,769,865	06/23/1998	Kermode et al.	
FR	5,792,158	08/11/1998	Lary	
FS	5,797,935	08/25/1998	Barath	
FT	5,800,450	09/01/1998	Lary et al.	
FU	5,820,594	10/13/1998	Fontirroche et al.	
FV	5,824,173	10/20/1998	Fontirroche et al.	
FW	5,827,201	10/27/1998	Samson et al.	
FX	5,827,225	10/27/1998	Ma Schwab	
FY	5,827,310	10/27/1998	Mann et al.	
FZ	5,895,402	04/20/1999	Hundertmark et al.	
GA	5,921,958	07/13/1999	Ressemann et al.	
GB	5,931,819	08/03/1999	Fariabi	
GC	5,993,469	11/30/1999	Barbut et al.	

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GD	5,997,557	12/07/1999	Barbut et al.	
GE	6,010,521	01/04/2000	Lee et al.	
GF	6,024,722	02/15/2000	Rau et al.	
GG	6,030,371	02/29/2000	Pursley	
GH	6,039,699	03/21/2000	Viera	
GI	6,066,149	05/23/2000	Samson et al.	
GJ	6,068,623	05/30/2000	Zadno-Azizi et al.	
GK	6,110,192	08/29/2000	Ravenscroft et al.	
GL	6,117,153	09/12/2000	Lary et al.	
GM	6,139,510	10/31/2000	Palermo	
GN	6,142,975	11/07/2000	Jalisi et al.	
GO	6,165,140	12/26/2000	Ferrera	
GP	6,165,167	12/26/2000	Delaloye	
GQ	6,165,292	12/26/2000	Abrams et al.	
GR	6,168,571	01/02/2001	Solar et al.	
GS	6,179,851	01/30/2001	Barbut et al.	
GT	6,190,332	02/20/2001	Muni et al.	
GU	6,193,686	02/27/2001	Estrada et al.	
GV	6,213,957	04/10/2001	Milliman et al.	
GW	6,217,549	04/17/2001	Selmon et al.	
GX	6,217,567	04/17/2001	Zadno-Azizi et al.	
GY	6,221,006	04/24/2001	Dubrul et al.	
GZ	6,241,690	06/05/2001	Burkett et al.	
HA	6,254,550	07/03/2001	McNamara et al.	
HB	6,258,108	07/10/2001	Lary	
HC	6,306,105	10/23/2001	Rooney et al.	
HD	6,306,151	10/23/2001	Lary	
HE	6,309,399	10/30/2001	Barbut et al.	

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HF	6,344,029	02/05/2002	Estrada et al.	
HG	6,355,016	03/12/2002	Bagaoisan et al.	
HH	6,383,146	05/07/2002	Klint	
HI	6,387,075	05/14/2002	Stivland et al.	
HJ	6,394,995	05/28/2002	Solar et al.	
HK	6,398,798	06/04/2002	Selmon et al.	
HL	6,409,863	06/25/2002	Williams et al.	
HM	6,425,882	07/30/2002	Vigil	
HN	6,471,673	10/29/2002	Kasterhofer	
HO	6,471,713	11/29/2002	Vargos et al.	
HP	6,533,754	03/18/2003	Hisamatsu et al.	
HQ	6,544,276	04/08/2003	Azizi	
HR	6,562,062	05/13/2003	Jenusaitis et al.	
HS	6,602,265	08/05/2003	Dubrul et al.	
HT	6,632,231	10/14/2003	Radisch, Jr.	

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	Document No.	Date	Country	Translation Yes No
HU	DE 34 00 416 A1	07/18/1985	Germany	Yes
HV	DE 34 02 573 A1	08/22/1985	Germany	Yes
HW	DE 35 19 626 A1	12/04/1986	Germany	Yes
HX	EP 0 291 170 A1	11/17/1988	Europe	
HY	EP 0 414 350 A1	02/27/1991	Europe	
HZ	EP 0 784 966 B1	07/23/1997	Europe	
IA	GB 1 547 328	06/13/1979	United Kingdom	
IB	WO 90/07909 A1	07/26/1990	WIPO	
IC	WO 91/17714 A1	11/28/1991	WIPO	

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OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

ID		Lary, Banning G., et al., "A Method for Creating a Coronary-Myocardial Artery," <u>Surgery</u> , June 1966, Vol. 59, No. 6, pp. 1061-1064.
IE		Lary, Banning G., "An Epicardial Purse String Suture for Closing Coronary Arteriotomy," <u>The American Surgeon</u> , March 1967, Vol. 33, No. 3, pp. 213-214.
IF		Lary, Banning G., "Coronary Artery Incision and Dilation," <u>Archives of Surgery</u> , December 1980, Vol. 115, pp. 1478-1480.
IG		Lary, Banning G., "Coronary Artery Resection and Replacement by a Blood Conduit," <u>Surgery</u> , April 1969, Vol. 65, No. 4, pp. 584-589.
IH		Lary, Banning G., "Effect of Endocardial Incisions on Myocardial Blood Flow," <u>Archives of Surgery</u> , September 1963, Vol. 87, pp. 424-427.
II		Lary, B.G., "Experimental Maintenance of Life by Intravenous Oxygen, Preliminary Report," <u>Clinical Congress of the American College of Surgeons</u> , San Francisco, November 5-9, 1951, pp. 30-35.
IJ		Lary, Banning G., et al., "Experimental Vein Angioplasty of the Circumflex Coronary Artery," <u>Journal of Surgical Research</u> , September 1974, Vol. 17, No. 3, pp. 210-214.
IK		Lary, Banning G., "Method for Increasing the Diameter of Long Segments of the Coronary Artery," <u>The American Surgeon</u> , January 1966, Vol. 32, No. 1, pp. 33-35.
IL		Lary, Banning G., et al., "Myocardial Revascularization Experiments Using the Epicardium," <u>Archives of Surgery</u> , January 1969, Vol. 98, pp. 69-72.
IM		Lary, Banning G., "Onlay Vein Graft for the Correction of Coronary Artery Obstruction," <u>Surgery</u> , April 1966, Vol. 59, No. 4, pp. 547-551.
IN		Lary, Banning G., "Surgery for Coronary Artery Disease," <u>Nursing Clinics of North America</u> , September 1967, Vol. 2, No. 3, pp. 537-542.
IO		Lary, Banning G., et al., "The 'Coronary Myocardial Artery' for Coronary Artery Disease," <u>Diseases of the Chest</u> , April 1996, Vol. 49, No. 4, pp. 412-419.
IP		U.S. Application Serial No. 10/436,216 to Show-Mean Wu, filed May 12, 2003.
IQ		U.S. Application Serial No. 10/447,766 to Show-Mean Steve Wu et al., filed May 29, 2003
IR		U.S. Application Serial No. 10/821,237 to Gregory S. Kelley, filed April 8, 2004.

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